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UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 005092.P001
First Named Inventor or Application Identifier Nag et al.
Express Mail Label No. EL580087024US

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)

2. X Specification (Total Pages 33)
(preferred arrangement set forth below)
- Descriptive Title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claims
- Abstract of the Disclosure

3. X Drawings(s) (35 USC 113) (Total Sheets 10)

4. Oath or Declaration/Power of Attorney (Total Pages)
a. Newly Executed (Original or Copy)
b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed) (**Note Box 5 below**)
i. DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

5. Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. Computer Readable Copy
b. Paper Copy (identical to computer copy)
c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & documents(s))
9. ☐ 37 CFR 3.73(b) Statement (where there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ a. Information Disclosure Statement (IDS)/PTO-1449
☒ b. Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. ☐ a. Small Entity Statement(s)
☐ b. Statement filed in prior application, Status still proper and desired
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Other: Unsigned Declaration and Power of Attorney (5 pages)

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)
of prior application No: _____

18. Correspondence Address

☐ Customer Number or Bar Code Label _____
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October 11, 2000

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Name of Person Mailing Correspondence

- 2 - Debbie Peloguin 10-11-00
Signature Date

FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$1950.00

Complete if Known:

Application No. Not Yet Assigned
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 First Named Inventor Siddhartha Nag
 Group Art Unit Not Yet Assigned
 Examiner Name Not Yet Assigned
 Attorney Docket No. 005092.P002

METHOD OF PAYMENT (check one)

1. ☒ [X] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

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- ☒ [X] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☒ X Payment Enclosed:
☒ X Check
 _____ Money Order
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FEE CALCULATION

1. BASIC FILING FEE

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility application filing fee	<u>710.00</u>
106	320	206	160	Design application filing fee	_____
107	490	207	245	Plant filing fee	_____
108	710	208	355	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____
SUBTOTAL (1)					<u>\$ 710.00</u>

2. EXTRA CLAIM FEES

		<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>40</u>	- 20** = <u>20</u>	X <u>18</u>	= <u>360.00</u>
Independent Claims	<u>14</u>	- 3** = <u>11</u>	X <u>80</u>	= <u>880.00</u>
Multiple Dependent				= _____

**Or number previously paid, if greater; For Reissues, see below.

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	<u>360.00</u>
102	80	202	40	Independent claims in excess of 3	<u>880.00</u>
104	270	204	135	Multiple dependent claim, if not paid	<u>0.00</u>
109	80	209	40	**Reissue independent claims over original patent	<u>0.00</u>
110	18	210	9	**Reissue claims in excess of 20 and over original patent	<u>0.00</u>
SUBTOTAL (2)					<u>\$ 1240.00</u>

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	_____
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	_____
139	130	139	130	Non-English specification	_____
147	2,520	147	2,520	For filing a request for reexamination	_____
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	_____
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	_____
115	110	215	55	Extension for response within first month	_____
116	390	216	195	Extension for response within second month	_____
117	890	217	445	Extension for response within third month	_____
118	1,390	218	695	Extension for response within fourth month	_____
128	1,890	228	945	Extension for response within fifth month	_____
119	310	219	155	Notice of Appeal	_____
120	310	220	155	Filing a brief in support of an appeal	_____
121	270	221	135	Request for oral hearing	_____
138	1,510	138	1,510	Petition to institute a public use proceeding	_____
140	110	240	55	Petition to revive unavoidably abandoned application	_____
141	1,240	241	620	Petition to revive unintentionally abandoned application	_____
142	1,240	242	620	Utility issue fee (or reissue)	_____
143	440	243	220	Design issue fee	_____
144	600	244	300	Plant issue fee	_____
122	130	122	130	Petitions to the Commissioner	_____
123	50	123	50	Petitions related to provisional applications	_____
126	240	126	240	Submission of Information Disclosure Stmt	_____
581	40	581	40	Recording each patent assignment per property (times number of properties)	_____
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	_____
179	710	279	355	Request for Continued Examination (RCE)	_____
169	900	169	900	Request for expedited examination of a design application	_____
Other fee (specify) _____					_____
Other fee (specify) _____					_____

SUBTOTAL (3) \$ _____

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Reg. Number: 45,270

Telephone Number: _____

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Name of Person Mailing Correspondence

Debbie Peloguin 10-11-00

Docket No.: 005092.P002
Express Mail No.: EL580087024US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TITLE OF THE INVENTION

**GRAPHICAL USER INTERFACE (GUI) FOR ADMINISTERING A VOICE OVER INTERNET
PROTOCOL (VOIP) NETWORK IMPLEMENTING MEDIA AGGREGATION MANAGERS**

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October 11, 2000

(Date signed)

**Graphical User Interface for Administering a Voice over Internet Protocol Network
Implementing Media Aggregation Managers**

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FIELD OF THE INVENTION

10 The present invention is concerned with management of a Voice Over Internet Protocol (VoIP) network. More particularly it is directed to a Graphical User Interface (GUI) that enables a system manager to initialize, based on predicted link utilization, a plurality of routers and media aggregation managers existing on a selected
15 communication path. The initialization provides the media aggregation managers with reservation protocol session parameters and bandwidth allocation requirements for a predetermined schedule of usage over the VoIP network.

DESCRIPTION OF THE RELATED ART(Background of the Invention)

20 Current network management tools such as Hewlett Packard's Open View and AdventNet, have typically been used by System Administrators for detecting and analyzing faults that occur within a network. The programs generally discover a network and each node or router on the network submits to the administrator if and where faults exist in the network so that the System Administrator can address the problematic faults. The System administrator can select an individual router and provision the router through

the Open View and AdventNet GUI. When provisioning a router, the existing tools utilize a standard protocol such as Simple Network Management Protocol (SNMP) or command line interface. The standard protocol is typically communicated to the provisioning tool like Open View or Adventnet by the router during the network discovery so that the protocol utilized for provisioning the router is hidden from the user. Provisioning a router includes router control parameters such as assigning an IP address to a router or assigning a bandwidth for a certain type of communication through the router.

One of the problems with the existing network management tools is that they do not provide for administration of VoIP networks. Another disadvantage of the current tools is that they do not allow a user to initialize multiple routers along a selected VoIP path.

SUMMARY OF THE INVENTION

The present invention relates to a method and apparatus for administering a VoIP network that contains one or more media aggregation managers.

In one embodiment, a method of conveying information about a VoIP network to
5 a user is disclosed. The method comprises: discovering a plurality of nodes on a VoIP network wherein the plurality of nodes includes a media aggregation manager that provides application/protocol specific multiplexing/demultiplexing of media traffic onto a pre-allocated reservation protocol session; and graphically depicting representations of the plurality of nodes and their interconnections on a network map, wherein the
10 representations of the plurality of media aggregation managers are visually distinguishable from the remainder of the plurality of nodes.

In another embodiment, a method of allowing a user to interactively explore how changes in path selection between media aggregation managers affects projected link utilization in a network is disclosed. A graphical user interface displays graphical
15 representations of a first media aggregation manager and second media aggregation manager. The first and second media aggregation managers serve as reservation session aggregation points between a first user community and a second user community and have a plurality of physical paths through which media packets may be exchanged by way of one or more packet forwarding devices. The GUI displays a first projected link
20 utilization based upon an indication that a first path of the plurality of physical paths will be used to convey media packets between the first and second media aggregation managers. The GUI also displays a second projected link utilization based upon an indication that a second path of the plurality of physical paths will be used to convey media packets between the first and second media aggregation managers.

BRIEF DESCRIPTION OF THE DRAWINGS

The present invention is illustrated by way of example, and not by way of limitation, in the figures of the accompanying drawings and in which like reference numerals refer to similar elements and in which:

5 Figure 1 illustrates an initialization control GUI in communication with a plurality of media aggregation Managers according to one embodiment of the present invention.

Figure 2 is a menu of available screens for the initialization GUI according to one embodiment of the present invention.

10 Figure 3 is a flow diagram illustrating a typical user navigation flow through the initialization process according to one embodiment of the present invention.

Figures 4 is a screen used for de-allocation of the media aggregation managers according to one embodiment of the present invention.

Figure 5 illustrates a network map interface according to one embodiment of the present invention.

15 Figure 6 illustrates a property window associated with a node according to one embodiment of the present invention.

Figure 7 illustrates a bandwidth allocation screen according to one embodiment of the present invention.

20 Figure 8 illustrates a BW on Link screen showing a utilization schedule for a selected node on the discovered network according to one embodiment of the present invention.

Figure 9 is a flow chart indicating the process of analysis for a selected path according to one embodiment of the present invention.

Figure 1 consists of 12 histograms arranged in a single row. Each histogram represents the distribution of the number of non-zero elements in the vector x for a specific value of n . The x-axis for all histograms is labeled 'Number of non-zero elements' and ranges from 0 to 120. The y-axis is labeled 'Frequency' and ranges from 0 to 100. The histograms are labeled with their corresponding n values: 10, 20, 30, 40, 50, 60, 70, 80, 90, 100, 110, and 120. As n increases, the distribution of non-zero elements shifts to the right, indicating that more elements in the vector x are non-zero for larger n . The peak frequency of the distributions decreases as n increases.

DETAILED DESCRIPTION OF THE INVENTION

Apparatus and Methods are described for initializing, allocating and de-allocating reservation protocol sessions between a plurality of media aggregation managers.

Broadly stated, embodiments of the present invention seek to provide a graphical user

5 interface (GUI) that enables a user to allocate and de-allocate bandwidth and reservation protocol sessions between a plurality of media aggregation managers along a path containing a plurality of routers. This is accomplished by allowing the user to analyze various repercussions of increasing/decreasing the user demand over various paths on a Voice over Internet Protocol (VoIP) network and viewing the bandwidth effects at all
10 nodes on the path for a schedule that varies based on usage variations at various times of the day, week, month or year.

Media aggregation managers are the subject of a related co-pending application having application number 09/634,035, entitled "Multiplexing Several Individual Application Sessions over a Pre-allocated Reservation Protocol Session," that is
15 incorporated herein in its entirety by reference. As discussed in the related application, a media aggregation manager is initialized with an expected bandwidth utilization between it and another media aggregation manager. Two Media aggregation managers, having pre-allocated an expected bandwidth usage between them, allow residents in a community to utilize a portion of the pre-allocated bandwidth without having to establish
20 individual application sessions as previously required by conventional networks not utilizing media aggregation managers. This type of pre-allocated bandwidth between media aggregation managers saves time in establishing linking protocols and saves bandwidth overhead by not requiring each VoIP connection to establish its own link and maintain its own individual link.

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One benefit of the graphical user interface of the present invention is that it allows a system administrator to adjust bandwidth allocation requirements for a plurality of users communicating between a plurality of locations based on historical and current utilization demands by allowing allocation and de-allocation of bandwidth reservations between a plurality of media aggregation managers. Additionally, another advantage of the present invention is that the GUI allows a user, by selecting a path, to initialize multiple routers along the path simultaneously without having to individually provision each router. The present invention addresses the inadequacy of current network management tools by providing a GUI for discovering a VoIP network, including the media aggregations managers residing on the VoIP network and allowing a user, based on predicted usage requirements, to initialize the media aggregation managers and the routers included on a selected path for a predetermined schedule.

According to one embodiment, a VoIP network containing a plurality of media aggregation managers is discovered and then displayed. The user may review individual properties for each of the nodes displayed on a network map. For example, the user may select two media aggregation managers for inter-communication analysis along with a predicted community demand of resources between the two selected media aggregation managers. The GUI displays a prioritized list of potential paths between the selected media aggregation managers including one or more routers for the communities to use in communicating between the media aggregation managers. Additionally, the user may select a path for an analysis of the effect of allocating the predicted bandwidth to a reservation protocol session between the selected media aggregation managers. The graphical user interface displays a predicted schedule of bandwidth traffic for any node on the network incorporating the predicted pre-allocated bandwidth that is being

considered for allocation between the media aggregation managers. Based on the displayed data, the user may decide to allocate the bandwidth for all of the routers and media aggregation managers along the selected path, change paths, de-allocate bandwidth between these or other media aggregation managers or reduce/restrict the predicted community usage on a selected path.

In the following description, for the purposes of explanation, numerous specific details are set forth in order to provide a thorough understanding of the present invention. It will be apparent, however, to one skilled in the art that the present invention may be practiced without some of these specific details. In other instances, well-known structures and devices are shown in block diagram form.

The present invention includes various steps, which will be described below. The steps of the present invention may be performed by hardware components or may be embodied in machine-executable instructions, which may be used to cause a general purpose or special purpose processor programmed with the instructions to perform the steps. Alternatively, the steps may be performed by a combination of hardware and software.

The present invention may be provided as a computer program product that may include a machine-readable medium having stored thereon instructions that may be used to program a computer (or other electronic devices) to perform a process according to the present invention. The machine-readable medium may include, but is not limited to, floppy diskettes, optical disks, CD-ROMs, and magneto-optical disks, ROMs, RAMs, EPROMs, EEPROMs, magnet or optical cards, flash memory, or other type of media/machine-readable medium suitable for storing electronic instructions. Moreover, the present invention may also be downloaded as a computer program product, wherein

the program may be transferred from a remote computer to a requesting computer by way of data signals embodied in a carrier wave or other propagation medium via a communication link (e.g., a modem or network connection).

While, for convenience, embodiments of the present invention are described with
5 reference to particular existing signaling, control, and communications protocol standards, such as International Telecommunication Union Telecommunication Standardization Section (ITU-T) Recommendation H.225.0 entitled "Call Signaling Protocols and Media Stream Packetization for Packet-based Multimedia Communication Systems," published February 1998 (hereinafter H.225.0); ITU-T Recommendation
10 H.245 entitled "Control Protocol for Multimedia Communication," published May 1999 (hereinafter H.245); ITU-T Recommendation H.323 entitled "Packet-based Multimedia Communications Systems," published September 1999 (hereinafter H.323); and a particular bandwidth reservation protocol (i.e., RSVP), the present invention is equally applicable to various other signaling, control, communications and reservation protocols.
15 For example, Session Initiation Protocol (SIP) may be employed to create, modify, and terminate application sessions with one or more participants. SIP is described in M. Handley et al., "SIP: Session Initiation Protocol," RFC 2543, Network Working Group, March 1999, which is hereby incorporated by reference.

In addition, for sake of brevity, embodiments of the present invention are
20 described with reference to a specific application (i.e., VoIP) in which individual flows may be multiplexed over a pre-allocated bandwidth reservation protocol session. Nevertheless, the present invention is equally applicable to various other applications that require real-time performance, such as applications based on human interactions (e.g.,

collaborative software, online/Web collaboration, voice conferencing, and video conferencing), and the like.

Terminology

Brief definitions of terms used throughout this application are given below.

5 In the context of the detailed embodiment, a “Media Aggregation Manager” may generally be thought of as a network device, such as an edge device at the ingress/egress of a user community, or a group of one or more software processes running on a network device that provides application/protocol specific multiplexing/de-multiplexing of media traffic onto a pre-allocated reservation protocol session.

10 A “reservation protocol” generally refers to a protocol that may be employed to communicate information regarding a desired level of service for a particular application flow. An example of an existing bandwidth reservation protocol is RSVP.

A “community” generally refers to a group of residents on a common network at a given location. For example, employees on an enterprise network at a given location or
15 users of a particular Internet service provider (ISP) at a given location may represent a community.

In the context of the described embodiment, a “reservation protocol session” generally refers to a set of reserved network resources, including the routers utilized for the session, established and maintained between two or more network devices that serve
20 as proxies or gate-keepers for application endpoints residing behind the proxies. An example, of a reservation protocol session is an RSVP session between two media aggregation managers.

“Total available bandwidth” refers to the amount of bandwidth accessible for any given router or could refer to the maximum available bandwidth of the most limiting node on a path between two selected nodes and their intervening nodes.

The “available communication bandwidth” encompasses the amount of bandwidth accessible for the desired type of communication to be reserved in any reservation protocol session. For instance, in one embodiment, the user may wish to allocate reservation protocol sessions for VoIP communication. In one case, 75% of the total available bandwidth may be the available communication bandwidth for VoIP type communications and a reservation protocol session initialized for 100 users between two media aggregation managers may only require 10% of the available communication bandwidth.

In the context of the described embodiment, an “application session” generally refers to a session established and maintained between two or more terminals. According to embodiments of the present invention, one or more application sessions may be multiplexed onto a single reservation protocol session thereby reducing the overhead for establishing and maintaining multiple application sessions.

A “terminal” generally refers to a LAN-based endpoint for media transmission, such as voice transmission. Terminals may be capable of executing one or more networked applications programs. An example of a terminal would be a computer system running an Internet telephony application, such as CoolTalk or NetMeeting.

- An “application” or “endpoint” generally refers to a software program that is designed to assist in the performance of a specific task, such as Internet telephony, online collaboration, or video conferencing.

Media Aggregation Manager Overview

Figure 1 conceptually illustrates interactions between two media aggregation managers 130 and 140 according to one embodiment of the present invention. The media aggregation managers 130 and 140 act as reservation protocol proxies on behalf of the communities 150 and 160 where a plurality of residents wish to communicate with each other. For example, resident 151 may wish to communicate with resident 161 while resident 152 wishes to communicate with resident 162. The media aggregation managers pre-allocate bandwidth and establish a reservation protocol session capable of handling multiple communications between residents in Community 150 and residents in Community 160. Having media aggregation managers controlling a single reservation protocol session for multiple communication for residents between a plurality of communities allows for packets of communication data to be efficiently multiplexed and reduces protocol overhead as individual pairs of residents need not maintain their own application sessions.

The reservations may apply to various paths. For example, the bandwidth reservation may lay over path 110 containing one intermediary router 111 or may be allocated over path 120 containing two intermediary routers 121 and 122. The reservation for communications between community 150 and community 160 may also be split over the various paths 110 and 120 depending on the historical and current bandwidth burden on individual routers 111, 121 and 122. The media aggregation managers reserve a protocol session and then multiplex the plurality of data packets for a plurality of communication links to be communicated. As prior technologies required each resident in a community to request an individual reservation session to establish a link between Community 150 and Community 160, media aggregation managers and the

apparatuses and methods required for initializing/controlling the media aggregation managers have been developed. The present invention focuses on the graphical user interface 100 that enables a user to interactively discover, analyze and initialize the media aggregation managers to handle a schedule of community communications.

5 The administration GUI tool used for initializing the routers and media aggregation managers is illustrated as designator 100 in Figure 1. The instructions for the GUI may reside in any combination of hardware or software and likewise may reside on any system configured to interact with other nodes on the network.

Graphical User Interface Overview

10 Figure 2 demonstrates one embodiment of a navigation tool for accessing various screens of the graphical user interface. In the embodiment depicted, a user may choose from one of the listed options, for instance, a user may select Network Discovery 201 to discover the network to be initialized or may choose Bandwidth Allocation 203 to allocate bandwidth to or establish a reservation protocol session between selected media
15 aggregation managers as will become apparent in the following description.

 An example of how a user may navigate through the menu to administer to a network is depicted in Figure 3. Beginning with the menu depicted in Figure 2, a user may select Network Discovery 201 in processing block 310. Once the Network Discovery 310 is complete, the user may select to display the network map by selecting
20 Network Map 202 from the menu. After viewing the network map that displays all or a subset of the communities, nodes and media aggregation managers currently on the system, the user may choose to go directly to the Bandwidth Allocation screen 203 by selecting the menu link or may choose to right-click on a graphical representation of one of the media aggregation managers and select from a pop-up menu to allocate bandwidth

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for that particular media aggregation manager. In either case, a Bandwidth Allocation screen presents itself to the user enabling him to select two media aggregation managers and indicate the number of users capable of communicating via the selected media aggregation managers 330. Once the user indicates which media aggregation managers are to be allocated and how many users are predicted to utilize the session, one or more potential paths between the two media aggregation managers are displayed on the bandwidth allocation interface. The user may select a path for analysis and, through the graphical user interface, indicate that the selected path is to be analyzed. At processing block 340, the selected path is analyzed to determine projected bandwidth utilization for each link of the selected path. Once analyzed, a user may select BW on Link 206 from the menu or the BW on Link screen may automatically appear after analysis has completed.

On the BW on Link screen, the user may select any node on the network, specifically of interest would be those altered by the predicted increase in usage. In response to being selected, the screen displays a schedule of usage for that node and optionally a projection indicating if the predicted usage increase is within an acceptable range 350. When the predicted usage is within an acceptable range, the media aggregation managers may be initialized. In one embodiment, the user selects Bandwidth Allocation 203 from the menu and, based on the nodes all falling within an acceptable range, the bandwidth for the selected media aggregation managers 360 and the routers along the path is allocated. The user can then decide if more media aggregation managers need to be allocated 370 (for instance, if a pre-existing plurality of communities are experiencing an increase of residents in the near future). When no more media aggregation managers need to be initialized, then the initialization is complete 380.

On the other hand, when more media aggregation managers need to be initialized, the user may return to the network map interface through the Network Map menu item 202 or may return directly to the Bandwidth Allocation Interface through the Bandwidth Allocation menu item 203 and repeat the media aggregation selection process just described.

Alternatively, if the BW on Link screen provides data indicating that the predicted bandwidth utilization on any portion of the schedule exceeds the limitations of the network, the user may choose to select a different path for analysis or select to de-allocate a previously allocated session between two other media aggregation managers 390. In either case, the user may return to the Bandwidth allocation page to select a different path through the bandwidth allocation menu item 203 or the user may select a different combination of media aggregation managers to analyze or de-allocate. If the user decides to de-allocate a session between two selected media aggregation managers to make available more bandwidth to accomplish the desired decrease in predicted utilization, the user may simply select the media aggregation managers 400 and then click on the menu option Bandwidth Deallocation 204 which brings up a dialog box 420 and de-allocate screen 430, shown in Figure 4, allowing the user to de-allocate the current session between the selected media aggregation managers 410.

Network Map Interface

Figure 5 shows the network map interface according to one embodiment of the invention. A graphical representation of a plurality of nodes on the discovered network is shown. In addition, links between each of the nodes and the administration GUI 550 are shown. The network map screen indicates community nodes 510, router nodes 520 and media aggregation managers 530. Each of the nodes or media aggregation nodes are

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visually distinct via a graphical representation indicative of the type of node. The user is able to readily identify whether a node is a community, router, media aggregation manager, & etc. simply by looking at its graphical representation. The community nodes 510 may have a plurality of residents, including but not limited to computers, routers, 5 phones, printers, scanners and the like. Each of the nodes and the media aggregation managers have properties associated with it that may be accessed by positioning the cursor over the graphical representation for the node and clicking on a mouse button assigned for property retrieval, in this embodiment, although not shown, the right mouse button is assigned for property retrieval. A properties window immediately appears as 10 shown in Figure 6 indicating information about the node such as the manufacturer 610, the interface addresses 620 or a name 630. Additionally, the properties window may indicate other information about the characteristics of the current configuration of the node. For instance, the property window for a media aggregation manager may indicate how many reservation protocol sessions it is maintaining and with which other media 15 aggregation managers each of the reservation protocol sessions are concerning. The property window may also indicate the available bandwidth for a given node and for what type of communication the bandwidth is available, such as voice or data communication and the amount of bandwidth that is currently allocated for reservation protocol sessions utilizing this particular media aggregation manager as a proxy or gate-keeper. Other 20 properties may include interface command options, such as allocate bandwidth 540, de-allocate bandwidth (not shown), or other interface command options that take the user to various interface screens and option windows.

Figure 7 is a snapshot of one embodiment of the bandwidth allocation screen.

The user may select two community gate-keepers or media aggregation managers 710 for

analysis or initialization. The present embodiment allows the user to select a source media aggregation manager 720, in this case "reddog" from a menu listing all media aggregation managers that were discovered on the network (not shown) and a destination media aggregation manager 730, in this case "rossini". The user may also designate the number of users 740 capable of communicating from each of the selected media aggregation managers. In this example, 100 users are capable of simultaneously communicating through the media aggregation manager reddog to residents whose gate-keeper or media aggregation manager is Rossini and likewise, 100 users are capable of communicating from Rossini to residents of reddog. Although the number of users for this example is 100 for both media aggregation managers, they need not be the same number of users.

Once the user has selected two media aggregation managers for analysis or initialization, the user may select "OK" 750 to indicate to the graphical user interface's processing algorithms to evaluate all available paths between the two media aggregation managers. The user may also decide to "abort" the path evaluation process by selecting the "abort" button 760.

In this example, two paths are determined during the path evaluation process although the invention is not so limited. The graphical user interface then displays the paths graphically depicting all intervening communities, routers or other nodes that lie between the selected media aggregation managers. The graphical user interface may display the list in a prioritized fashion utilizing factors such as the number of nodes between the media aggregation managers, the physical length of travel between nodes, the total available bandwidth on the nodes between the media aggregation managers, the available communication bandwidth, or the propagation speed between the various nodes

that make up the path. For each factor or combination of weighted factors, the most limiting of the intervening nodes may be utilized for the computation as would be readily apparent to one skilled in the art.

The user may then select a path 770 to analyze. In most cases, the user may default to the highest prioritized path that in this case defaults to the first position on the graphical user interface but may be configured by the user to appear where desired. Alternatively, the user may see that a node in the prioritized path is going to ultimately be extremely burdened by other allocations that the user needs to initialize or has already been initialized and instead may opt for a lower prioritized path. In either case, according to this example, once the user has selected a path for allocation or analysis, he then chooses whether to reserve the protocol session between the two media aggregation managers by pressing the "start bandwidth Allocation" button 780 or the user may select to analyze the effect the bandwidth allocation would have on the nodes by selecting "analyze selected path" button 790.

The bandwidth allocation screen allows the user to abort the analysis at any time if so desired by selecting the "abort" button 760.

Figure 9 demonstrates what happens when the analyze button 790 is selected. In step 910, a schedule of bandwidth allocation is determined for the selected path. In step 920, after the predicted schedule for the selected path has been determined, the schedule of increased bandwidth allocation is overlaid on top of the schedule that accounts for bandwidth previously reserved to the nodes on the path via other media aggregation managers utilizing those nodes. Finally, in step 940, the combined schedule of usage is optionally displayed to the user.

Once the analysis of the selected path has completed, the graphical user interface may automatically switch to the BW on Link screen shown in Figure 8 or the user may select BW on Link from the menu on the left and previously discussed with regard to Figure 2. The BW on Link screen, in this embodiment, displays the predicted utilization results of reserving the session as indicated on the Bandwidth allocation interface. As previously indicated, the displayed schedule incorporates all previously allocated sessions and bandwidth reservations burdening the intervening nodes as well as the predicted increase as a result of the analyzed path if it were to be allocated. The results of the analysis may be viewed for each of the nodes displayed in the network map, primarily of interest would be the nodes along the selected path so that a determination can be made as to whether the protocol session to be reserved will exceed the available communication bandwidth for any node at any time in the predicted schedule.

The media aggregation managers that have been analyzed are displayed 810. The user may indicate a time range for display by changing the offset for each router 820.

Another segment of the display 830 indicates to the user all available and analyzed nodes between the selected media aggregation managers by way of a scrollable list of intervening nodes. The user may then select a node on the path and a schedule of utilization for that node appears 840. The schedule. The schedule depicts a time frame including a Start Time 850 and End time 860 and indicates the bandwidth utilized during that time frame 870 and the amount of the available communication bandwidth 880 that would remain available after the analyzed path has been allocated. The schedule covers various segments of the day as determined by the offsets selected 820 and also indicates a schedule of usage for the node for various days of the week. Once the user verifies that the utilization on all of the nodes on the path are within a desirable range, the user may

select to return to the bandwidth allocation screen shown in Figure 7 and allocate the bandwidth 780.

Once the allocate bandwidth button 780 is selected, the bandwidth for the media aggregation managers are allocated as shown in the flow chart in Figure 10. In this example at step 1010, each and every router on the selected path where RSVP is not currently utilized, RSVP is enabled. In Step 1020, each router on the selected path is provisioned to force all communication media between the residents communicating between selected source and destination media aggregation managers to travel across the media aggregation managers and routers of the selected path. In step 1030, the media aggregation managers are initialized with all scheduling information necessary to reserve protocol sessions for the plurality of residents at any time within the schedule. The reservation protocol sessions manage the protocol sessions for multiple communication links in order to reduce the overhead and delay times occurring when individual links must be maintained as in previous technologies. The necessary scheduling information may include information such as how much bandwidth needs to be allocated for each session, expected increases and decreases in utilization based on time and other information necessary to manage a reservation protocol session. In step 1040, the media aggregation managers begin reserving protocol sessions according to the information schedule provided in step 1030.

In some instances, for example where the schedule indicates that utilization will exceed the available communication bandwidth, the user may select another path for analysis, select another pair of allocated media aggregation nodes for de-allocation or restrict the number of users allowed to communicate over the selected media aggregation managers. Should the user decide to de-allocate a previously allocated protocol session,

he selects the media aggregation managers and then selects Bandwidth Deallocation 204 from the menu. Figure 4 indicates a bandwidth deallocation screen and allows the user to select "deallocate bandwidth". In response, the graphical user interface provides a warning and confirmation dialog box. The user may then confirm the deallocation.

- 5 In the foregoing specification, the invention has been described with reference to specific embodiments thereof. It will, however, be evident that various modifications and changes may be made thereto without departing from the broader spirit and scope of the invention. The specification and drawings are, accordingly, to be regarded in an illustrative rather than a restrictive sense.

10

CLAIMS:

What is claimed is:

- 1 1. A method of conveying information about a Voice Over Internet Protocol (VoIP)
2 network to a user comprising:
3 discovering a plurality of nodes on the VoIP network, the plurality of nodes including a
4 plurality of media aggregation managers that provide application/protocol specific
5 multiplexing/demultiplexing of media traffic onto a preallocated reservation
6 protocol session; and
7 graphically depicting representations of the plurality of nodes and their interconnections
8 on a network map, wherein the representations of the plurality of media
9 aggregation managers are visually distinguishable from the remainder of the
10 plurality of nodes.
- 1 2. The method of claim 1, further comprising displaying a plurality of physical paths that
2 are available for exchanging media packets between a selected pair of media aggregation
3 managers of the plurality of media aggregation managers.
- 1 3. The method of claim 2, wherein the plurality of physical paths are prioritized in terms of
2 their relative desirability for serving as the path over which media packets will be
3 transferred between the first and second media aggregation managers.
- 1 4. A method of allowing a user to interactively explore how changes in path selection
2 between media aggregation managers affects projected link utilization in a network
3 comprising:

4 displaying graphical representations of a first media aggregation manager and a second
5 media aggregation manager, the first and second media aggregation managers
6 serving as reservation session aggregation points between a first user community
7 and a second user community and having a plurality of physical paths through
8 which media packets may be exchanged by way of one or more packet forwarding
9 devices;

10 displaying a first projected link utilization based upon an indication that a first path of the
11 plurality of physical paths will be used to convey media packets between the first
12 and second media aggregation managers; and

13 displaying a second projected link utilization based upon an indication that a second path
14 of the plurality of physical paths will be used to convey media packets between
15 the first and second media aggregation managers.

1 5. The method of claim 2, further comprising overlaying a selected path of the plurality of
2 physical paths onto existing bandwidth allocations to determine a projected link
3 utilization associated with the selected path.

1 6. A method comprising:
2 in response to a discovery request, discovering nodes on a network;
3 identifying and graphically displaying the nodes and their interconnections on a map;
4 receiving inputs including a first node, a second node and a projected bandwidth traffic
5 between the first node and the second node; and
6 displaying a projected bandwidth utilization for the nodes that accounts for the increase
7 in bandwidth utilization caused by the projected bandwidth traffic for a schedule.

- 1 7. The Method of claim 6 wherein the nodes include at least one media aggregation
2 manager.
- 1 8. The method of claim 7 further comprising displaying a plurality of paths between the first
2 node and the second node.
- 1 9. The method of claim 8 where the plurality of paths between the first node and the second
2 node are prioritized by a criteria.
- 1 10. A Graphical User Interface (GUI) comprising:
2 a display portion that graphically depicts and identifies a plurality of nodes on a network,
3 wherein the plurality of nodes includes a plurality of media aggregation managers
4 that provide application/protocol specific multiplexing/demultiplexing of media
5 traffic onto a preallocated reservation protocol session, and wherein the plurality
6 of media aggregation managers are distinguishable from other nodes on the
7 network.
- 1 11. The GUI of Claim 10 further comprising an identification table for displaying
2 characteristics of a selected node.
- 1 12. A method utilizing a Graphical User Interface (GUI) comprising:
2 receiving a first input indicating a first media aggregation manager;
3 receiving a second input indicating a second media aggregation manager;
4 receiving a third input indicating a projected utilization between the first media
5 aggregation manager and the second media aggregation manager;

6 displaying a prioritized plurality of paths between the first media aggregation manager
7 and the second media aggregation manager that satisfy the projected utilization;
8 and
9 receiving a fourth input indicating a selected path of the plurality of paths.

1 13. The method of Claim 12 further comprising a control initializing an allocation of
2 bandwidth between the first media aggregation manager and the second media
3 aggregation manager.

1 14. The method of claim 13 wherein the allocation of bandwidth comprises a provisioning of
2 plurality of routers between the first media aggregation manager and the second media
3 aggregation manager.

1 15. The method of claim 14 wherein the provisioning of the plurality of routers includes
2 instructions that force media to route through the plurality of routers when being
3 communicated from a first community of residents utilizing the first media aggregation
4 manager to a second community of residents utilizing the second media aggregation
5 manager.

1 16. The Method of Claim 12 further comprising an analysis control for receiving an input
2 indicating the initiation of analysis of the first path.

1 17. The method of Claim 12 further comprising:
2 receiving a fifth input indicating a node on the selected path; and
3 displaying a schedule projecting bandwidth utilization for the node.

- 1 18. A method comprising substantially simultaneously provisioning a plurality of routers to
2 force a media to travel from a first media aggregation manager through the plurality of
3 routers and to a second media aggregation manager.
- 1 19. A method comprising provisioning a plurality of routers according to a path selected by a
2 user over which reservation protocol session packets are forced to travel.
- 1 20. The method of claim 19 wherein the path includes an endpoint wherein the endpoint is a
2 media aggregation manager.
- 1 21. A machine-readable medium having stored thereon data representing sequences of
2 instructions which, when executed by a processor, cause the processor to:
3 discover a plurality of nodes on the VoIP network, the plurality of nodes including a
4 plurality of media aggregation managers that provide application/protocol specific
5 multiplexing/demultiplexing of media traffic onto a preallocated reservation
6 protocol session; and
7 graphically depict representations of the plurality of nodes and their interconnections on a
8 network map, wherein the representations of the plurality of media aggregation
9 managers are visually distinguishable from the remainder of the plurality of
10 nodes.
- 1 22. The machine-readable medium of claim 21, further comprising instructions to display a
2 plurality of physical paths that are available for exchanging media packets between a
3 selected pair of media aggregation managers of the plurality of media aggregation
4 managers.

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1 23. The machine-readable medium of claim 22, wherein the plurality of physical paths are
2 prioritized in terms of their relative desirability for serving as the path over which media
3 packets will be transferred between the first and second media aggregation managers.

1 24. A machine-readable medium having stored thereon data representing sequences of
2 instructions which, when executed by a processor, cause the processor to:
3 display graphical representations of a first media aggregation manager and a second
4 media aggregation manager, the first and second media aggregation managers
5 serving as reservation session aggregation points between a first user community
6 and a second user community and having a plurality of physical paths through
7 which media packets may be exchanged by way of one or more packet forwarding
8 devices;
9 display a first projected link utilization based upon an indication that a first path of the
10 plurality of physical paths will be used to convey media packets between the first
11 and second media aggregation managers; and
12 display a second projected link utilization based upon an indication that a second path of
13 the plurality of physical paths will be used to convey media packets between the
14 first and second media aggregation managers.

1 25. The machine-readable medium method of claim 24, further comprising instructions to
2 overlay a selected path of the plurality of physical paths onto existing bandwidth
3 allocations to determine a projected link utilization associated with the selected path.

1 26. A machine-readable medium having stored thereon data representing sequences of
2 instructions which, when executed by a processor, cause the processor to:
3 discover nodes on a network in response to a discovery request;

4 identify and graphically display the nodes and their interconnections on a map;
5 receive inputs including a first node, a second node and an input means for indicating a
6 projected bandwidth traffic requirements between the first node and the second
7 node; and
8 display the projected bandwidth traffic requirements for the nodes.

1 27. The machine-readable medium of claim 26 wherein the nodes include at least one media
2 aggregation manager.

1 28. The machine-readable medium of claim 26 further comprising instructions to display a
2 plurality of paths between the first node and the second node.

1 29. The machine-readable medium of claim 28 wherein the plurality of paths between the
2 first node and the second node are prioritized by a criteria.

1 30. A machine-readable medium having stored thereon data representing sequences of
2 instructions which, when executed by a processor, cause the processor to:
3 display a first portion that graphically depicts and identifies a plurality of nodes on a
4 network, wherein the plurality of nodes includes a plurality of media aggregation
5 managers that provide application/protocol specific multiplexing/demultiplexing
6 of media traffic onto a preallocated reservation protocol session, and wherein the
7 plurality of media aggregation managers are distinguishable from other nodes on
8 the network.

1 31. The machine-readable medium of claim 30 further comprising instructions to display a
2 table that identifies characteristics of a selected node.

1 32. A machine-readable medium having stored thereon data representing sequences of
2 instructions which, when executed by a processor, cause the processor to:
3 receive a first input indicating a first media aggregation manager;
4 receive a second input indicating a second media aggregation manager;
5 receive a third input indicating a projected utilization between the first media aggregation
6 manager and the second media aggregation manager;
7 display a prioritized plurality of paths between the first media aggregation manager and
8 the second media aggregation manager that satisfy the projected utilization; and
9 receive a fourth input indicating a selected path of the plurality of paths.

1 33. The machine-readable medium Claim 32 further comprising instructions to initialize an
2 allocation of bandwidth between the first media aggregation manager and the second
3 media aggregation manager.

1 34. The machine-readable medium of claim 33 wherein the allocation of bandwidth
2 comprises instructions to provision a plurality of routers between the first media
3 aggregation manager and the second media aggregation manager.

1 35. The machine-readable medium of claim 34 wherein the provisioning of the plurality of
2 routers includes instructions that force media to route through the plurality of routers
3 when being communicated from a first community of residents utilizing the first media
4 aggregation manager to a second community of residents utilizing the second media
5 aggregation manager.

1 36. The machine-readable medium of Claim 32 further comprising instructions to analyze
2 availability of the first path.

1 37. The machine-readable medium of Claim 32 further comprising instructions to:

2 receive a fifth input indicating a node on the selected path; and

3 display a schedule projecting bandwidth utilization for the node.

1 38. A machine-readable medium having stored thereon data representing sequences of

2 instructions which, when executed by a processor, cause the processor to:

3 substantially simultaneously provision a plurality of routers to force a media to travel

4 from a first media aggregation manager through the plurality of routers and to a

5 second media aggregation manager.

1 39. A machine-readable medium having stored thereon data representing sequences of

2 instructions which, when executed by a processor, cause the processor to:

3 provision a plurality of routers according to a path selected by a user over which

4 reservation protocol session packets are forced to travel.

1 40. The machine-readable medium of claim 39 wherein the path includes an endpoint

2 wherein the endpoint is a media aggregation manager.

ABSTRACT

A graphical user interface (GUI) is disclosed that allows a user to identify routers, communities, residents and media aggregation managers existing on a network. The user may interactively select a path that includes two media aggregation managers and at least one router. The GUI predicts scheduled bandwidth utilization along the selected path for a variety of residents wishing to communicate across the path. The GUI may be utilized for initializing all media aggregation managers on the network along with provisioning each of the routers on the selected path. The GUI provisions all of the routers and initializes all of the media aggregation managers on the selected path simultaneously in order to accomplish the predicted schedule of usage provided by the GUI to the user and force all communication packets communicated between the residents to travel along the selected path.

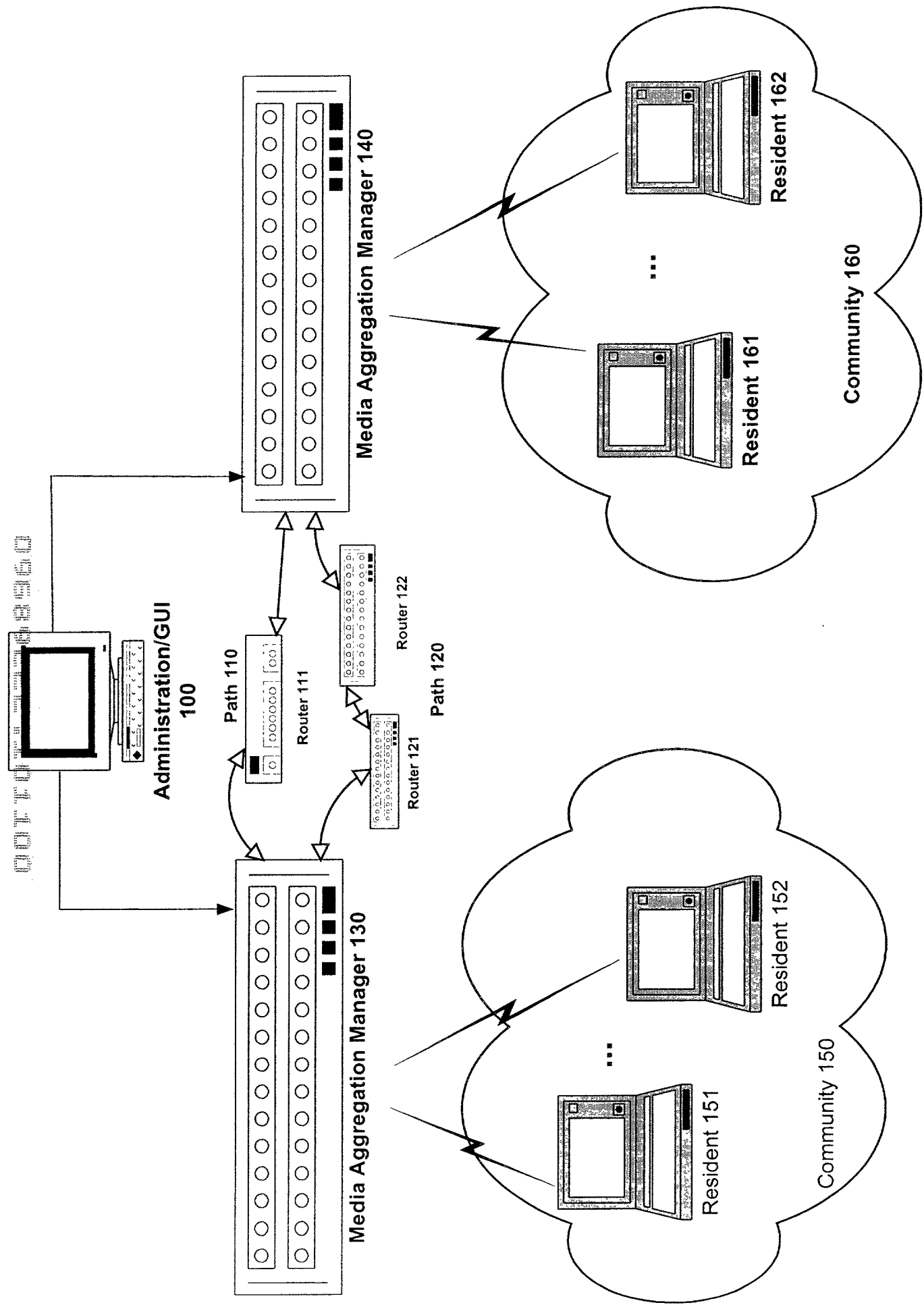


Figure 1

<input type="checkbox"/>	NMS Administration	
	Readme	
<input type="checkbox"/>	Network Administration	
	Network Discovery	201
	Network Map	202
	Bandwidth Allocation	203
	Bandwidth Deallocation	204
<input type="checkbox"/>	Miscellaneous	
	Configured Communities	205
	BW on Link	206
	RSVP trace	207

Fig. 2

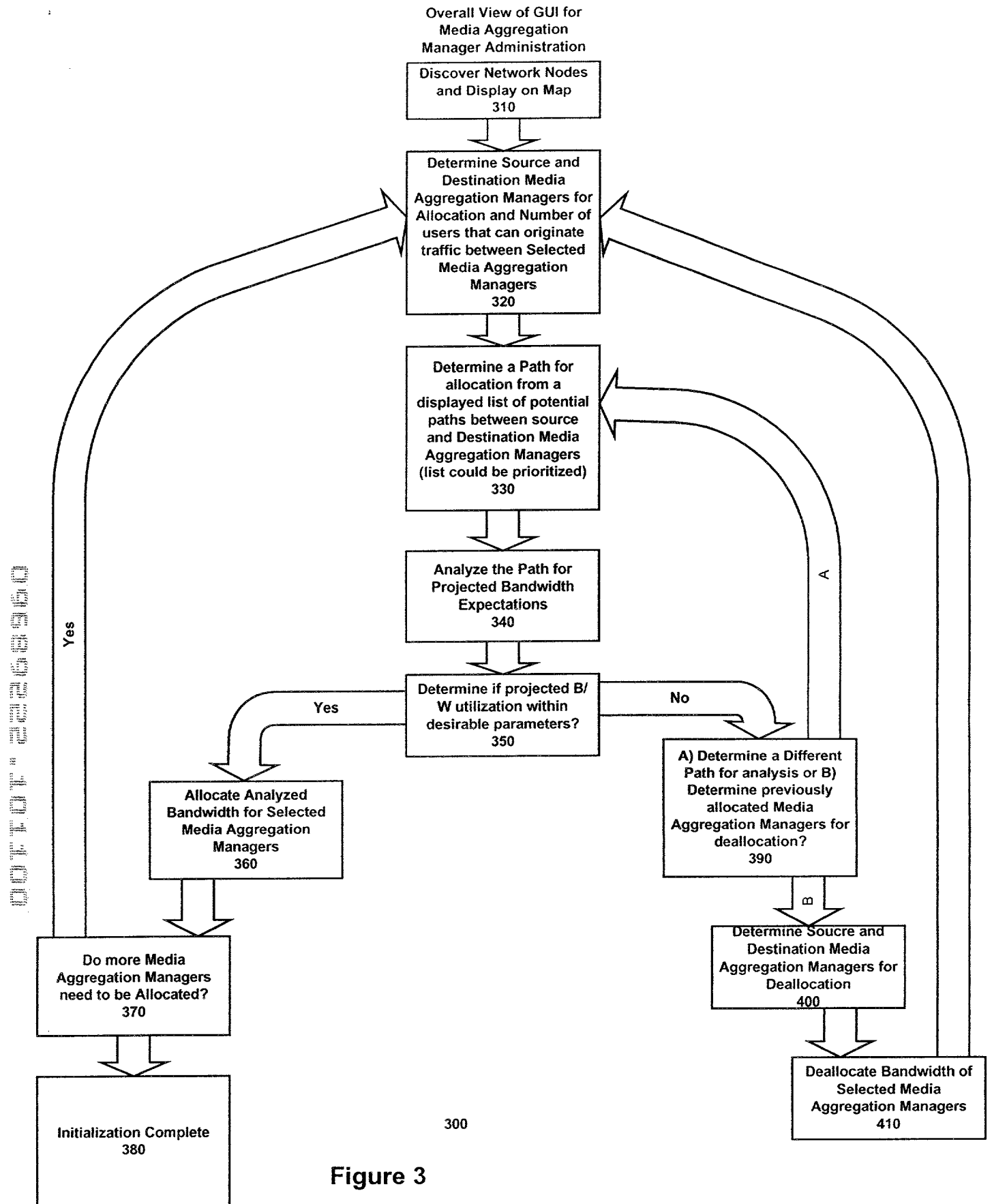
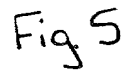


Figure 3



Warning: Applet Window

Bandwidth Allocation

Community 1(Source)

Source BOB's host-name: reddog

Users: 100

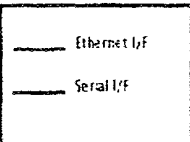
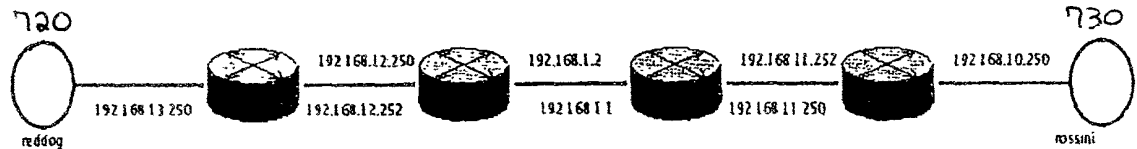
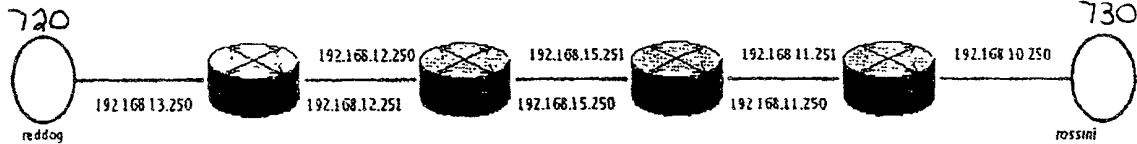
Community 2(Destination)

Dest. BOB's host-name: rossini

Users: 100

Ok

Abort



Start Bandwidth Allocation

Analyze Selected Path

Fig. 7

Warning: Applet Window

- ☐ NMS Administration
 - Readme
- ☒ Network Administration
 - Network Discovery
 - Network Map
 - Bandwidth Allocation
 - Bandwidth Deallocation
- ☒ Miscellaneous
 - Configured Communities
 - BW on Link
 - RSVP trace

CONFIGURED COMMUNITIES

Configured Communities

Source Bob	Destination Bob
reddog	rossini

DETAILS:

Source	Destination
Name: reddog	Name: rossini
Time Offset(minutes): 120	Time Offset(minutes): -60
Connected Router IP: 192.168.13.250	Connected Router IP: 192.168.10.250

Links between the pair

Path Segment #	Link IP Address
1	192.168.13.250
2	192.168.12.250
3	192.168.12.252
4	192.168.1.2

Monday

Start Time(NETS)	End Time(NETS)	B/W Used(bytes)
07:29:00	11:02:00	4000
10:29:00	14:02:00	4000
11:02:00	11:59:00	2000
11:59:00	16:59:00	5000
14:02:00	14:59:00	2000

Tuesday

Start Time(NETS)	End Time(NETS)	B/W Used(bytes)
07:29:00	11:02:00	4000
10:29:00	14:02:00	4000
11:02:00	11:59:00	2000
11:59:00	16:59:00	4000
14:02:00	14:59:00	2000

Wednesday

Fig. 8

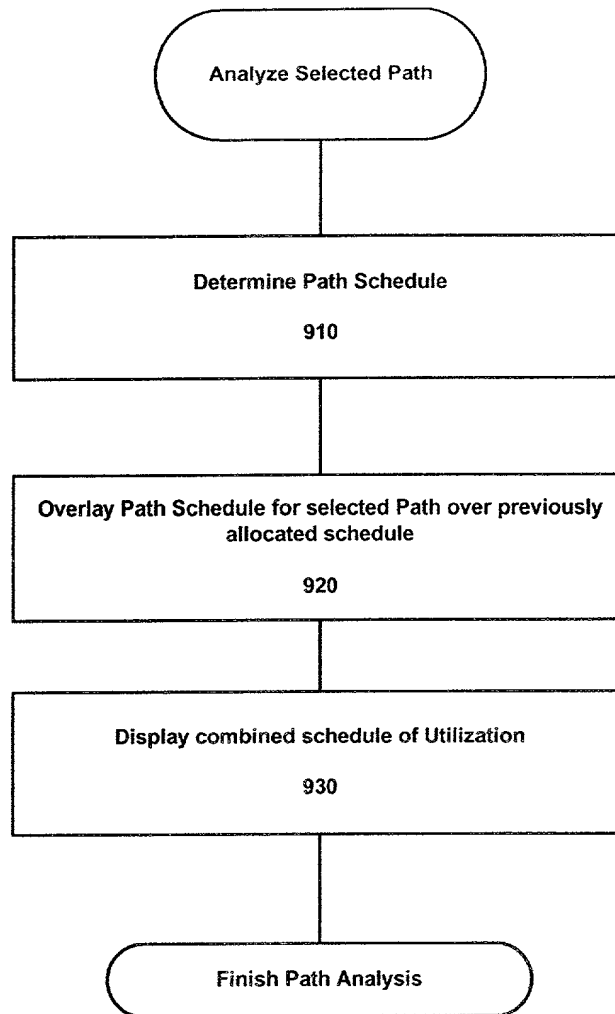


Figure 9

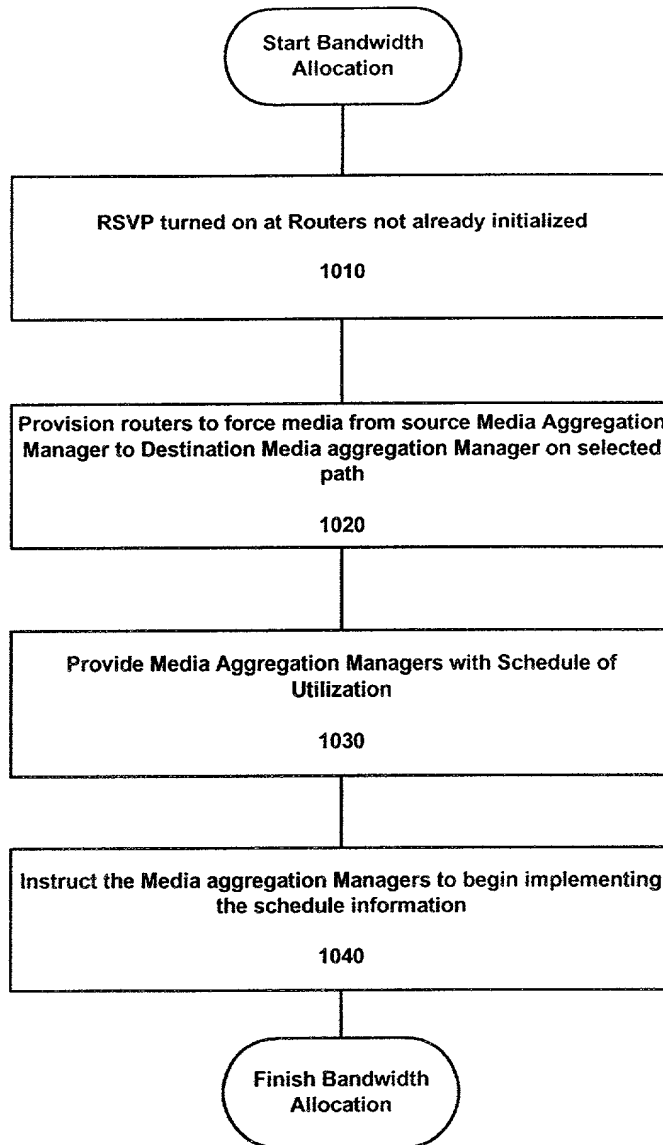


Figure 10

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below, next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Graphical User Interface (GUI) For Administering A Voice Over Internet Protocol (VOIP) Network Implementing Media Aggregation Managers

the specification of which

 X is attached hereto.
 was filed on _____ as
United States Application Number _____
or PCT International Application Number _____
and was amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above. I do not know and do not believe that the claimed invention was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, and that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (for a utility patent application) or six months (for a design patent application) prior to this application.

I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d), of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

001101 2268950

Prior Foreign Application(s)

Priority
Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<u>Yes</u>	<u>No</u>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<u>Yes</u>	<u>No</u>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<u>Yes</u>	<u>No</u>

I hereby claim the benefit under title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:

_____ (Application Number)	_____ Filing Date
_____ (Application Number)	_____ Filing Date

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

_____ (Application Number)	_____ Filing Date	_____ (Status -- patented, pending, abandoned)
_____ (Application Number)	_____ Filing Date	_____ (Status -- patented, pending, abandoned)

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

Send correspondence to Mark J.Fink, BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP, 12400 Wilshire Boulevard 7th Floor, Los Angeles, California 90025 and direct telephone calls to (303) 740-1980.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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APPENDIX A

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APPENDIX B

Title 37, Code of Federal Regulations, Section 1.56 Duty to Disclose Information Material to Patentability

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) Prior art cited in search reports of a foreign patent office in a counterpart application, and
 - (2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and
- (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or
 - (2) It refutes, or is inconsistent with, a position the applicant takes in:
 - (i) Opposing an argument of unpatentability relied on by the Office, or
 - (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) Each inventor named in the application;
 - (2) Each attorney or agent who prepares or prosecutes the application; and
 - (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- (d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.